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1.15.02  
C. Wills

I hereby certify that this paper is being deposited with the United States Postal Service with sufficient postage as First Class Mail under 37 CFR 1.8 on the date indicated below and is addressed to: "Commissioner of Patents and Trademarks, Washington, DC 20231."

Signed Stuart T. Auvinen  
Stuart T. Auvinen, Reg. No. 36,435

Date Signed and Mailed 10-9-01

PATENT  
RS-11

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of )  
Stone )  
Serial No. 09/682,324 )  
Filed: 8/20/01 )  
For: Monitoring and Control Engine for Multi-Tiered )  
Service-Level Management of Distributed Web- )  
Application Servers )

Examiner:

Group Art Unit: 2857

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OCT 16 2001  
TC 2800 MAIL ROOM

INFORMATION DISCLOSURE STATEMENT

Hon. Commissioner of Patents and Trademarks  
Washington, DC 20231

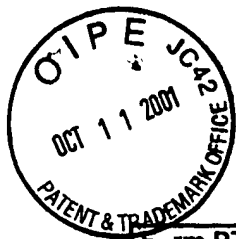
Sir:

Attached is a completed Substitute Form PTO-1449 and copies of the pertinent parts of the references cited thereon.

- ☐ The commissioner is hereby authorized to charge payment of any patent application processing fees under 37 C.F.R. § 1.17 associated with this communication or credit any overpayment to deposit account No. 01-2950.

Respectfully Submitted,

Stuart T. Auvinen  
Stuart T. Auvinen  
Agent for Applicant  
Reg. No. 36,435



Sheet 1 of 2

<b>Form PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  (Use several sheets if necessary)	<b>Docket Number (Optional)</b> RS-11	<b>Application Number</b> 09/682,324
	<b>Applicant</b> Stone	
	<b>Filing Date</b> 8/20/01	<b>Group Art Unit</b> 2857

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6	1	5	1	6	8	8	11/00	Wipfel et al.	714	48	
	5	9	5	8	0	0	9	9/99	Friedrich et al.	709	224	
	5	5	7	2	6	7	4	11/96	Ernst	395	200.1	
	6	1	5	7	9	5	5	12/00	Narad et al.	709	228	
	5	6	9	4	5	4	8	12/97	Baugher et al.	395	200.12	
	5	8	9	8	6	6	8	4/99	Shaffer	370	230	
	6	2	1	2	5	6	2	4/01	Huang	709	227	
	6	1	4	1	6	8	6	10/00	Jackowki et al.	709	224	
	5	3	9	0	2	4	3	2/95	Casselman et al.	379	265	
	6	1	4	4	9	9	6	11/00	Starnes et al.	709	217	
	5	9	6	4	8	9	1	10/99	Caswell et al.	714	31	
	5	8	1	9	0	4	5	10/98	Raman et al.	395	200.56	
	5	5	9	8	5	3	2	1/97	Liron	395	200.01	

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
												YES	NO

**OTHER DOCUMENTS** (including Author, Title, Date, Pertinent Pages, Etc.)


<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.



Sheet 2 of 2

Form PTO-1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

(Use several sheets if necessary)

Docket Number (Optional)

RS-11

Application Number

09/682,324

Applicant

Stone

Filing Date

8/20/01

Group Art Unit

2857

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5	5	0	4	8	9	4	4/96	Ferguson et al.	395	650	
	5	7	9	9	1	7	3	8/98	Gossler et al.	395	500	
	6	0	6	7	5	4	5	5/00	Wolff	707	10	
	6	2	2	6	3	7	7	5/01	Donaghue, Jr.	379	265	
	6	1	7	3	3	0	6	1/01	Raz et al.	709	102	
	6	1	0	8	7	0	0	8/00	Maccabee et al.	709	224	

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	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
												YES	NO

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EXAMINER

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